


Attorney Docket: CUH-003.00

I hereby certify that this correspondence (sheets total) is:
[☐ being facsimile transmitted to the USPTO (to FAX: ; from FAX:), or
deposited with the United States Postal Service with sufficient postage as first class mail in an envelope
addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Date: November 24, 2003

Signature: 
Typed/printed name: Chiahua George Yu

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re application of inventor(s): LAU, Leo W.M. et al.

Serial No.: 09/981,643

Filed: October 16, 2001

Title: DECORATIVE HARD COATING AND METHOD FOR MANUFACTURE

RECEIVED

DEC 08 2003

TC 1700

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is:

[☐]* being submitted under 37 CFR §1.97(b)(1) (within three months of the filing date of a national application other than a continued prosecution application under 37 CFR §1.53(d)) or 37 CFR §1.97(b)(2) (within three months of the date of entry of the national stage as set forth in 37 CFR §1.491 in an international application).

[☐]* believed to be being submitted under 37 CFR §1.97(b)(3) (before the mailing of a first Office action on the merits) or 37 CFR §1.97(b)(4) (before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR §1.114).

[X] being submitted under 37 CFR 1.97(c) (after the period specified in 37 CFR §1.97(b), before the mailing date of any of a final action under §1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of:

[☐]* the statement specified in 37 CFR §1.97(e), or

[X] the fee under 37 CFR 1.17(p)).

[☐] being submitted under 37 CFR 1.97(d) (after the period specified in paragraph 37 CFR §1.97(c), on or before payment of the issue fee and is accompanied by (1) The statement specified in 37 CFR §1.97(e), and (2) the fee set forth in §1.17(p)).

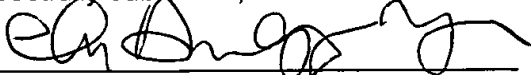
Applicant(s) submit herewith form(s) PTO/SB/08A and/or 08B together with copies of patents, publications or other information listed thereupon, which are requested to be made of record in this application. This information disclosure statement shall not be construed as a representation that a search has been made and shall not be construed to be an admission that the information cited is, or is considered to be, material to patentability.

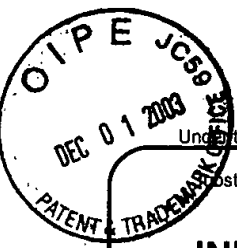
*[☐] No fee is believed due, but

[☐] The Commissioner is hereby authorized to charge any fees required or credit any overpayments to deposit account number .

November 24, 2003
Date

Respectfully submitted,


Chiahua George Yu, Attorney for Applicant(s)
Reg. No. 43,301
Tel.: (408) 739-4518; Fax: (408) 739-2300



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Institute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/981,643
Filing Date	Oct. 16, 2001
First Named Inventor	LAU, Leo W.M.
Art Unit	1775
Examiner Name	KOPPIKAR, Vivek D.
Attorney Docket Number	CUH-003.00

Sheet 1 of 2

* total sheets this IDS of all form(s) PTO/SB/08A and/or PTO/SB/08B

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

RECEIVED
DEC 08 2003
TC 1700

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	CA	DD 288631 A	04-04-1991	Akademie der ..		
	CB	DE 3640086 A	07-23-1987	Balzers Hochv..		
	CC	JP 53122687 A	10-26-1978	Mitsubishi ..		
	CD	DE 29818029 U	03-25-1999	Balzers Proze..		

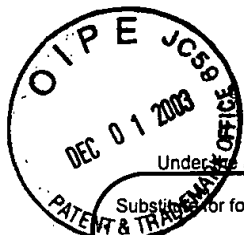
Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/981,643
Filing Date	Oct. 16, 2001
First Named Inventor	LAU, Leo W.M.
Art Unit	1775
Examiner Name	KOPPIKAR, Vivek D.
Attorney Docket Number	CUH-003.00

Sheet	2	of *	2
-------	---	------	---

* total sheets this IDS of all form(s) PTO/SB/08A and/or PTO/SB/08B

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CE	Patent Abstracts of Japan, for Citation CC (JP 53122687), "Copyright 1978, JPO&Japio"	
	CF	International Search Report - Int'l Appln. No. PCT/CA 02/01570; search completed 01/27/2003	

RECEIVED
DEC 08 2003
TC 1700

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.